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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/601,444

06/23/2003

Michael L. Brundage

MSFT-1753/301638.1

7697

41505 7590 02/09/2007

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EXAMINER

GORTAYO, DANGELINO N

ART UNIT

PAPER NUMBER

2168

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
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3 MONTHS

02/09/2007

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No. 10/601,444	Applicant(s) BRUNDAGE ET AL.	
	Examiner Dangelino N. Gortayo	Art Unit 2168	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 23 August 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-6 and 8-23 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-6 and 8-23 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 23 June 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date. _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-6, 8-23 are pending in this application.

Continued Examination Under 37 CFR 1.114

2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 10/31/2006 has been entered.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-6 and 8-23 are rejected under 35 U.S.C. 102(e) as being anticipated by Manikutty et al. (US Patent 7,120,645 B2).

As per claim 1, Manikutty teaches ““A method for semantic representation of one or more XML language inquiries across relational and non-relational data sources” (see Abstract)

“receiving at least one inquiry” (Figure 3 reference 310, column 10 lines 25-33, column 16 lines 56-58, wherein a query is received);

“defining a plurality of nodes of a graph structure which represents the at least one inquiry, the graph structure having at least one node object for every operation within the at least one received inquiry” (column 1 lines 61-67, column 14 lines 55-66, column 16 lines 18-26, column 20 lines 63-67, wherein a set of XML generation operations and rules to convert between XML operations to canonical operations are established, wherein canonical operations are represented as nodes in a normalized tree of canonical functions);

“translating each of the at least one node objects using operators” (column 16 line 59 – column 17 line 8, column 18 lines 37-43, lines 57-65, column 19 lines 57-62, column 20 lines 26-42, wherein a query is translated based on certain conditions and generation rules);

“generating a semantic representation having the graph structure wherein the semantic representation explicitly describes a meaning of the one or more XML language inquiries” (Figure 5, column 20 line 63 – column 21 line 44, column 22 lines 47-67, wherein queries are translated to a normalized tree of canonical functions, wherein the nodes of a tree represent operations, and the tree describing the query)
“and wherein the semantic representation decouples front-end language compilers from

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back-end query engines that use the semantic representation" (column 21 line 48 – column 22 line 47, wherein a second, more simplified tree from the first normalized tree decouples SQL operations and XML operations).

As per claim 2, Manikutty teaches "the semantic representation is an intermediate language representation formed for interpretation and execution by a target query engine" (column 10 lines 53-60)

As per claim 3, Manikutty teaches "wherein the non-relational data sources comprise one or more of a text document, a spreadsheet, and a non-relational database" (column 8 lines 58-66)

As per claim 4, Manikutty teaches "the generating step further comprises breaking down high level operations of the received inquiry into explicit parts" (column 14 lines 45-54).

As per claim 5, Manikutty teaches "the explicit parts are common across multiple XML languages" (column 5 lines 52-62, column 6 lines 10-23).

As per claim 6, Manikutty teaches "the operators comprise one or more of special operators, data sources, literals, Boolean operators, sequence operators, arithmetic operators, string operators, value comparison operators, node comparison operators, tuple spaces, function definition and invocation, XML navigation, XML construction, XML property accessors, type operators, language specific operators, and data manipulation operators" (Table 12, column 15 lines 21-25, column 26 line 64 – column 31 line 62).

As per claim 8, Manikutty teaches “at least one received inquiry comprises one or more of an XML query language and an XML view definition language” (column 10 lines 25-33, column 16 lines 56-58).

As per claim 9, Manikutty teaches “the at least one received inquiry comprises one or more of an XPath, an XSLT, an XQuery, a DML, an OPath, and an Annotated Schema inquiry.” (column 5 line 63 – column 6 line 9, column 6 lines 23-36).

As per claim 10, Manikutty teaches “the semantic language representation allows XML queries over XML views of relational data” (column 5 lines 36-50, column 17 lines 18-25).

As per claim 11, Manikutty teaches “semantics interpreter for expressing a meaning of one or more of an XML query and an XML view across multiple data source” (see Abstract);

“an input for receiving the one or more of an XML query and an XML view which form an inquiry” (Figure 3 reference 310, column 10 lines 25-33, column 16 lines 56-58, wherein a query is received);

“a graph structure generator for defining node objects for every operation within the inquiry” (column 1 lines 61-67, column 14 lines 55-66, column 16 lines 18-26, column 20 lines 63-67, wherein a set of XML generation operations and rules to convert between XML operations to canonical operations are established, wherein canonical operations are represented as nodes in a normalized tree of canonical functions);

“a translator for assigning operators for each node object wherein the operators break down operations of the inquiry into explicit parts” (column 16 line 59 – column 17 line 8, column 18 lines 37-43, lines 57-65, column 19 lines 57-62, column 20 lines 26-42, wherein a query is translated based on certain conditions and generation rules);

“output for providing the explicit parts as an intermediate language representation for expressing the meaning of the one or more of an XML query and an XML view” (Figure 5, column 20 line 63 – column 21 line 44, column 22 lines 47-67, column 21 line 48 – column 22 line 47, wherein queries are translated to a normalized tree of canonical functions, wherein the nodes of a tree represent operations, and the tree describing the query) “wherein the semantic representation decouples front-end language compilers from back-end query engines that use the semantic representation” (column 21 line 48 – column 22 line 47, wherein a second, more simplified tree from the first normalized tree decouples SQL operations and XML operations).

As per claim 12, Manikutty teaches “the multiple data sources comprise relational and non-relational data sources” (column 5 lines 26-35, column 8 lines 58-66)

As per claim 13, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 3 and is similarly rejected.

As per claim 14, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 6 and is similarly rejected.

As per claim 15, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 5 and is similarly rejected.

As per claim 16, Manikutty teaches “the intermediate language representation is formed for interpretation and execution by a target query engine” (column 10 lines 53-60)

As per claim 17, Manikutty teaches “A computer-readable medium having computer-executable instructions for performing a method of intermediate language representation of a received inquiry” (see Abstract);

“receiving one or more of an XML query and an XML view forming the received inquiry” (Figure 3 reference 310, column 10 lines 25-33, column 16 lines 56-58, wherein a query is received);

“defining node objects for every operation within the received inquiry” (column 1 lines 61-67, column 14 lines 55-66, column 16 lines 18-26, column 20 lines 63-67, wherein a set of XML generation operations and rules to convert between XML operations to canonical operations are established, wherein canonical operations are represented as nodes in a normalized tree of canonical functions);

“translating each node using operators which break down operations of the received inquiry into explicit parts” (column 16 line 59 – column 17 line 8, column 18 lines 37-43, lines 57-65, column 19 lines 57-62, column 20 lines 26-42, wherein a query is translated based on certain conditions and generation rules);

“generating instructions corresponding to the explicit parts forming an intermediate language representation for subsequent queries over one or more of relational and non-relational data sources wherein the intermediate language

representation comprises an explicit description of a meaning on the received inquiry” (Figure 5, column 20 line 63 – column 21 line 44, column 22 lines 47-67, wherein queries are translated to a normalized tree of canonical functions, wherein the nodes of a tree represent operations, and the tree describing the query) “wherein the semantic representation decouples front-end language compilers from back-end query engines that use the semantic representation” (column 21 line 48 – column 22 line 47, wherein a second, more simplified tree from the first normalized tree decouples SQL operations and XML operations).

As per claim 18, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 6 and is similarly rejected.

As per claim 19, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 5 and is similarly rejected.

As per claim 20, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 8 and is similarly rejected.

As per claim 21, Manikutty teaches “A computer system for generating a semantic representation of an inquiry” (see Abstract)

“a processor for executing computer instructions and at least one module” (Figure 6 reference 604 and column 25 lines 27-42)

“an input function for receiving one or more of an XML query and an XML view which forms the inquiry” (Figure 3 reference 310, column 10 lines 25-33, column 16 lines 56-58, wherein a query is received);

“a graph structure generator for defining node objects for every operation within the inquiry” (column 1 lines 61-67, column 14 lines 55-66, column 16 lines 18-26, column 20 lines 63-67, wherein a set of XML generation operations and rules to convert between XML operations to canonical operations are established, wherein canonical operations are represented as nodes in a normalized tree of canonical functions);

“a translator function for assigning operators for each node object wherein the operators break down operations of the inquiry into explicit parts” (column 16 line 59 – column 17 line 8, column 18 lines 37-43, lines 57-65, column 19 lines 57-62, column 20 lines 26-42, wherein a query is translated based on certain conditions and generation rules);

“an output for providing the explicit parts as an intermediate language representation for expressing a meaning of the XML query and the XML view” (Figure 5, column 20 line 63 – column 21 line 44, column 22 lines 47-67, wherein queries are translated to a normalized tree of canonical functions, wherein the nodes of a tree represent operations, and the tree describing the query) “wherein the semantic representation decouples front-end language compilers from back-end query engines that use the semantic representation” (column 21 line 48 – column 22 line 47, wherein a second, more simplified tree from the first normalized tree decouples SQL operations and XML operations).

“wherein the at least one module comprises one or more of one or more software modules and one or more hardware modules” (column 25 lines 1-42)

As per claim 22, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 6 and is similarly rejected.

As per claim 23, this claim is rejected on grounds corresponding to the arguments given above for rejected claim 5 and is similarly rejected.

Response to Arguments

5. Applicant's arguments with respect to claims 1-6 and 8-23 have been considered but are moot in view of the new ground(s) of rejection.

Conclusion

6. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Brundage et al (US Patent 7,146,352 B2)

Couch et al. (US Patent 6,725,212 B2)

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Dangelino N. Gortayo whose telephone number is (571)272-7204. The examiner can normally be reached on M-F 7:30-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tim T. Vo can be reached on (571)272-3642. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Dangelino N. Gortayo
Examiner

Tim T. Vo
SPE

DL



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